

Applicant or Patentee: Louis D. Faló & Kenneth L. Rock

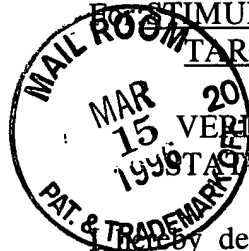
Attorney's

Serial or Patent No.: 08/535,566

Docket No.: 125350

Filed or Issued: September 28, 1995

STIMULATION OF CELL-MEDIATED IMMUNE RESPONSES BY  
TARGETED PARTICULATE GENETIC IMMUNIZATION



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: DANA-FARBER Cancer Institute

ADDRESS OF ORGANIZATION: 44 Binney Street  
Boston, MA 02115

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OF OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501 (c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501 (c)(3)) IF LOCATED IN THE UNITED STATES  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled STIMULATION OF CELL-MEDIATED IMMUNE RESPONSES BY TARGETED PARTICULATE GENETIC IMMUNIZATION described in:

- ☐ the specification filed herewith  
☒ application serial no. 08/535,556, filed September 28, 1995  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that the rights under contract of law have been conveyed to and remain with the nonprofit organization with regard to the above-identified application.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

NAME University of Pittsburgh of the Commonwealth of Higher Education

ADDRESS 911 William Pitt Union Pittsburgh, PA 15260

[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [x] NONPROFIT ORGANIZATION

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_ [ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 16 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Julia D. Hart, Esq.

TITLE IN ORGANIZATION Patent Counsel

ADDRESS OF

PERSON SIGNING DANA-FARBER Cancer Institute  
44 Binney Street Boston, MA 02115

SIGNATURE 

DATE Mar 12/1996

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

11 Walter J. Blenko, Jr., Registration No. 18,526; Arnold B. Silverman, Registration No. 22,614; Richard V. Westerhoff, Registration No. 24,454; Lewis F. Gould, Jr., Registration No. 25,057; Stephan P. Gribok, Registration No. 29,643; Rita M. Rooney, Registration No. 30,585; David V. Radack, Registration No. 33,442; Jolene W. Appleman, Registration No. 35,428; Steven C. Benjamin, Registration No. 36,087; J. Mark Hand, Registration No. 36,545; and Kirk D. Houser, Registration No. 37,357.

Please direct all correspondence to: Lewis F. Gould, Jr.  
Eckert Seamans Cherin & Mellott  
1700 Market Street, Suite 3232  
Philadelphia, PA 19103  
Telephone (215) 575-6000.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1-00  
Full name of sole or first inventor: Louis D. Falo, Jr.

Second Inventor's signature [Signature] Date 1/9/96  
Residence Pittsburgh, PA  
Citizenship United States  
Post Office Address 710 Duncan Ave., Apt. 1409  
Pittsburgh, PA 15237

2-00  
Full name of second joint inventor: Kenneth L. Rock

Second Inventor's signature [Signature] Date 2/9/96  
Residence 145 Walnut Hill Rd., Chestnut Hill, MA 02167  
Citizenship USA  
Post Office Address 145 Walnut Hill Rd  
Chestnut Hill, MA 02167



DECLARATION FOR PATENT APPLICATION

Docket: 125350

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled, STIMULATION OF CELL-MEDIATED IMMUNE RESPONSES BY TARGETED PARTICULATE GENETIC IMMUNIZATION, the specification of which

(check one) ☐ is attached hereto.  
☒ was filed on September 28, 1995 as Application Serial No. 08/535,556 and was amended on ---- (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Office all known information which is material to patentability as defined in Title 37, Code of Federal Regulation Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Appln. Serial No.)	(Filing Date)	(Status-patent,pending,abandoned)
(Appln. Serial No.)	(Filing Date)	(Status-patent,pending,abandoned)
(Appln. Serial No.)	(Filing Date)	(Status-patent,pending,abandoned)

Applicant or Patentee: Louis D. Falo & Kenneth L. Rock

Attorney's

Serial or Patent No.: 08/535,566

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Filed or Issued: September 28, 1995

For: STIMULATION OF CELL-MEDIATED IMMUNE RESPONSES BY  
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Higher Education

ADDRESS OF ORGANIZATION: 911 William Pitt Union  
Pittsburgh, PA 15260

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OF OTHER INSTITUTION OF HIGHER EDUCATION
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(CITATION OF STATUTE \_\_\_\_\_)
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(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

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- ☐ the specification filed herewith
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NAME DANA-FARBER Cancer Institute

ADDRESS 44 Binney Street Boston, MA 02115

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_ ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

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NAME OF PERSON SIGNING Frances J. Connell, Esq.

TITLE IN ORGANIZATION Director, Office of Technology Transfer & Intellectual Property

ADDRESS OF

PERSON SIGNING University of Pittsburgh Office of Technology Transfer & Intellectual Property  
911 William Pitt Union Pittsburgh, PA 15260

SIGNATURE

Frances J. Connell

DATE

2/5/96